



Customer No. 29315

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:	)	Docket No.: 23449-026
	)	
Joseph G. GATTO	)	Confirmation No.: 2903
	)	
Serial No.: 10/681,286	)	Examiner: <i>Unassigned</i>
	)	
Filed: October 9, 2003	)	Group Art Unit: 3624
For: SYSTEM AND METHOD FOR FACILITATING THE SELECTION OF SECURITY ANALYST RESEARCH REPORTS		

INFORMATION DISCLOSURE STATEMENT (IDS)

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant hereby makes of record in the above-identified application the documents listed on the attached Form PTO-1449.

Applicant has listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated. Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not an issue.

Applicant reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No certification or fee is required. 37 C.F.R. 1.97(b).

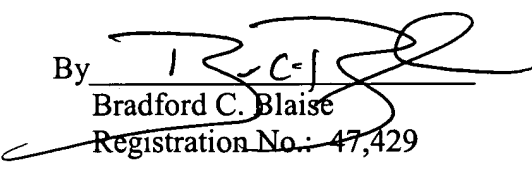
A copy of each cited U.S. patent is not submitted herewith pursuant to the Official Gazette Notice of August 5, 2003, wherein the Office waived the requirement under 37 C.F.R. 1.98(a)(2)(i) for all U.S. national phase applications filed after June 30, 2003.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449.

Respectfully submitted,

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By


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	1B	5,006,998	04/09/1991	Yasunobu <i>et al.</i>	364	513	
	1C	5,132,899	07/21/1992	Fox	364	408	
	1D	5,365,425	11/15/1994	Torma <i>et al.</i>	364	401	
	1E	5,500,795	03/19/1996	Powers <i>et al.</i>	364	401	
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	1G	5,608,620	03/04/1997	Lundgren	395	201	
	1H	5,613,072	03/18/1997	Hammond <i>et al.</i>	395	204	
	1I	5,675,746	10/07/1997	Marshall	395	235	
	1J	5,749,077	05/05/1998	Campbell	705	36	
	1K	5,761,442	06/02/1998	Barr <i>et al.</i>	395	236	
	1L	5,774,880	06/30/1998	Ginsberg	705	36	
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	1O	5,812,988	09/22/1998	Sandretto	705	36	
	1P	5,819,271	10/06/1998	Mahoney <i>et al.</i>	707	9	
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	1DD	http://interactive.wsj.com/public/current/articles/SB963945297966625438.htm (1/5/01)
	1EE	http://interactive.wsj.com/public/current/articles/SB963945742428637569.htm (1/5/01)

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	2C	5,956,691	09/21/1999	Powers	705	4	
	2D	5,963,922	10/05/1999	Helmering	705	35	
	2E	6,012,042	01/04/2000	Black <i>et al.</i>	705	36	
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	2G	6,021,397	02/01/2000	Jones <i>et al.</i>	705	36	
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	7H	Terry D. WARFIELD <i>et al.</i> , "Response to the FASB Exposure Draft, "Proposed Statement of Financial Accounting Standards—Accounting for Transfers and Servicing of Financial Assets and Extinguishment of Liabilities", <u>Accounting Horizons</u> , Vol. 10, No. 3, September 1996, pages 178-181.
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	7K	Lawrence D. BROWN <i>et al.</i> , "Profiting from Predicting Earnings Surprise", <u>The Journal of Financial Statement Analysis</u> , Winter 1998, pages 57-66.
	7L	Martin M. HERZBERG <i>et al.</i> , "Enhancing Earnings Predictability Using Individual Analyst Forecasts", <u>The Journal of Investing</u> , Summer 1999, pages 15-24.
	7M	Susan D. KRISCHE <i>et al.</i> , "The Information Content of Analyst Stock Recommendations", First Draft: August 8, 2000, Current Draft: September 25, 2000, 40 pages.

EXAMINER	DATE CONSIDERED
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INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449	Docket Number	Application Number
	23449-026	10/681,286
	Applicant(s)	
	Joseph G. GATTO	
	Filing Date	Group Art Unit
	October 9, 2003	3624

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
							YES	NO

OTHER DOCUMENTS *(Including Author, Title, Date, Pertinent Pages, Etc.)*

	8A	www.findarticles.com/m4PRN/1999_Oct_14/56284107/pl/article.jhtml , printed February 5, 2001, 2 pages.
	8B	http://my.zacks.com/?ALERT=www.zacks.com , printed February 2, 2001, 6 pages.
	8C	http://www.cianet.com/ , printed February 5, 2001, 14 pages.
	8D	http://www.factset.com/ , printed February 5, 2001, 10 pages.
	8E	http://www.iexchange.com/ , printed February 5, 2001, 50 pages.
	8F	http://www.validea.com/home/home.asp , printed February 5, 2001, 26 pages.
	8G	http://www.bulldogresearch.com/default.asp , printed February 5, 2001, 28 pages.
	8H	Lawrence D. BROWN, "Predicting Individual Analyst Earnings Forecast Accuracy", September 29, 1999, pages 1-60.

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